

IECEE

OD-G-4006 Ed. 1.0

Guidance for filling in the Factory Surveillance Body Assessment Report

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0 Cover Page

Document identification in IECEE-PAC/XXX/* should be:

- “IAR” for Initial Assessment Report,
- “EAR” for Extension of Scope Assessment,
- “FAR” for Follow-up Assessment Report
- “RAR” for Re-assessment Report
- “RLAR” for Re-Location Assessment Report)

Factory Surveillance Body:

Enter complete legal entity name of the Factory Surveillance Body and country of domicile.

1 Object and field of assessment

1.1 Object

Scope of Accreditation:

Is the accreditation body scope equal/greater or smaller than the IECEE scope ?

1.2 Product Categories

1.2.1 Product Categories covered by the re-assessment

Please cross (X) as appropriate and refer to Annex 1A/B for a complete list of the scope of the assessment containing details of the relevant IEC Standards, Programs and relevant experience including editions and amendments

1.2.2 Product Categories covered by the initial/scope extension assessment

Please cross (X) as appropriate and refer to Annex 1B for a complete list of the scope of the assessment containing details of the relevant IEC Standards, Programs and relevant experience including editions and amendments

1.3 Previous Assessment Report

1.4 Certification Scheme

1.5 Complete legal entity name and address of the Factory Surveillance Body

If the FSB is already an accepted IECEE Member and the Assessment is a Scope extension the box "Accepted" should be checked.

1.6 Members of the Assessment Team

Assessor Country: Country of residence to be listed

1.7 Place(s) and date(s) of Assessment

If multiple buildings include addresses of both, such as: ABC Factory Surveillance Body in City A together with DEF Factory Surveillance Body in City D.

1.8 Assessment Base

2 Organisation

2.1 National Certification Body undertaking the responsibility for the Factory Surveillance Body

Also indicate whether the responsible NCB was present during the assessment, and if so, by who.

2.2 Brief history of the Factory Surveillance Body

Include information about the legal entity of the CB-FSB and ownership. Reference ISO/IEC 17025 as applicable. Complete this section for Initial Assessment and for other Assessments complete only with updates from the last assessment.

2.3 Organisation of the Factory Surveillance Body

Include information relevant to the organisation of the CB-FSB pertaining to the operated Scheme(s) and /or programs including the interaction with its NCB.

Show/briefly describe the programs and schemes in which the CB-FSB is active. E.g. make reference to national certification mark(s) owned, controlled or licensed by the associated NCB and for which the CB-FSB is active at least in the course of this assessment.

If the Quality Management System is such that the Quality Manual and/or Quality Procedure include one or more organization charts then this could be attached as an appendix to the Assessment Report.

3 Personnel Structure

3.1 Employees

3.2 Responsible Managers for Surveillance

When the declared years of experience is low, the assessment team should make a professional judgment based upon interviews on the awareness and knowledge of the standards, witnessing of Surveillance Report review, witnessing of surveillances as well as CV information e.g. previous employments and function, training programmes completed.

3.3 Principal staff involved in Surveillance

3.4 Staff involved in the Quality Management System of the Factory Surveillance Body

3.5 Assessment of staff competence

Briefly describe how the competence was assessed e.g. interview, CV check, demonstration of surveillance decisions, knowledge of the standard, reviewing of the Surveillance Reports, etc.

3.6 Training

Briefly describe if the Factory Surveillance Body has documented procedures for training in each field of the Body's competence relevant to the scope of the Scheme(s) for which the body is assessed. Indicate if the records of training were checked. Also provide some typical examples of the training provided by the relevant associated NCB(s), if applicable.

4 Premises

Indicate the size to give an impression about the suitability of the office of the organisation.

5 Quality Management System

Briefly describe the structure of the quality system, its documentation and degree of implementation, and how it is checked for compliance with applicable parts of ISO/IEC 17025. State whether reports from external/internal audits, management reviews and corrective action processes have been reviewed and other relevant items from ISO/IEC 17025.

In any case the Rules of Procedure of the relevant IECEE Schemes should be assessed in order to verify that they are duly included in the quality management system and implemented in practise and effectively. This assessment may include, but is not limited to, e.g. Operational Documents, CTL Decisions, CFS decisions, process of document control and provision to use the appropriate IEC Standards etc.

6 Critical Technical Procedures

Briefly describe if the presence and appropriateness of procedures for sample handling, component acceptance, performance of critical tests, calibration of equipment, measurement accuracy/uncertainty, training and other relevant items from ISO/IEC 17025 Clause 5.0 have been checked, if applicable for surveillance activities of this body.

Equipment: Verify that the calibration certificates include measurement uncertainty values.

Sampling: In case of multiple factory location for the same product.

Reporting the results: Please refer to OD-4001 and OD-4002.

7 Proficiency Testing Programmes

8 Surveillances witnessed during the assessment

Witnessing of surveillance activities shall only be performed in doubts. In this case report the rational for the doubts and the witnessed activity.

Provide information about the surveillance methodology, general proficiency, knowledge and competence of the surveillance staff and the relevant standard and clause and/or program against which the surveillance has been carried out.

9 Surveillance reports reviewed during the assessment

e.g. To check the validity and completeness of the surveillances reported in the Surveillance Report, correct annexes used, proper signatures and verdicts etc.

10 Number of Non-Conformity Reports issued

11 Recommendations of the Assessment Team

Please cross (X) as appropriate under Annex 1 the accepted/not accepted standards detailing together with the relevant IEC Standards the editions and amendments as well as programs)

Standard recommendations: Please check the appropriate recommendation

11.1 Additional Information

12 Signatures of the Assessment Team

13 Acknowledgement by the assessed organization

Annex 1A

Standards of the current accepted scope selected for this Re-assessment

Annex 1B Initial Assessment / Scope extension Assessment Scope

Annex 2 Organization Chart

If the quality management system is such that the Quality Manual and/or Quality Procedure include one or more organization charts then this could be attached in this Annex. The Assessment Team shall not request the assessed organisation to draft a dedicated Organisation chart simply for the purpose of completing this Annex or clarifying the information provided in the body of this report.

Annex 3 “Independence and impartiality” including “Commercial consultancy”

Annex 4 NCBs undertaking the responsibility for the Factory Surveillance Body

Non-Conformity Reports